



WOTRO Science for Global Development

# Security & Rule of Law

in Fragile and Conflict-Affected Settings

Call for applied research on addressing  
mixed migration flows



Ministry of Foreign Affairs of the  
Netherlands



A subsidy scheme of the Ministry of Foreign Affairs of the Netherlands, implemented by the Netherlands Organisation for Scientific Research, Division WOTRO Science for Global Development, in collaboration with the Knowledge Platform Security & Rule of Law.

The Hague, 22-Aug-16  
Netherlands Organisation for Scientific Research

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# 1 Introduction

## 1.1 Background

### **Dutch knowledge policy for Security & Rule of Law**

Security & Rule of Law (SRoL) is one of the priority policy areas of Dutch development cooperation, aiming at contributing to security and the rule of law in specific fragile and conflict-affected settings (FCAS) by tackling the underlying causes of conflicts, instability and exclusion and, from the viewpoint of human security, supporting positive forces in society. More specifically, the focus objectives of the Dutch policy on Security & Rule of Law<sup>1</sup> are:

1. Security for people: establish and strengthen people's security;
2. Justice: a functioning legal order;
3. Inclusive political processes;
4. A legitimate and capable government;
5. Social and economic reconstruction.

The way of working in fragile settings needs serious improvement. Despite significant investments from the international community to enhance the effectiveness of their engagement in fragile and conflict-affected settings, e.g. through the 2007 Principles for Good International Engagement in Fragile States, the 2008 Accra Agenda for Action, the 2011 World Development Report: Conflict, Security and Development, culminating in the 2011 New Deal for Engagement in Fragile States<sup>2</sup> and the sixteen Sustainable Development Goals set in 2015, results and value for money have been modest.

The current policy frameworks acknowledge that transitioning out of fragility is a long, political process that requires country leadership and ownership. They also acknowledge that significant changes are needed to systems, behaviours and approaches in order to respond more effectively to the challenges posed by conflict and fragility. To make Dutch development efforts in Security & Rule of Law more effective, interventions must be made more conflict-sensitive, better adjusted to local priorities and local systems and allow for a flexible, coherent long-term involvement and acceptable risks.

In order to allow for this, the Dutch Security & Rule of Law policy and implementation thereof needs to be better underpinned by evidence-based knowledge. Therefore, the Dutch Ministry of Foreign Affairs has made resources available for strengthening the knowledge base on security and the rule of law in the fragile and conflict-affected partner countries of Dutch development cooperation, including those mentioned in the New Deal and the MENA region<sup>3</sup>.

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<sup>1</sup> Ministerie van Buitenlandse Zaken (2012), Speerpunt Veiligheid en Rechtsorde, TK 32605

<sup>2</sup> See [www.newdeal4peace.org](http://www.newdeal4peace.org)

<sup>3</sup> Afghanistan, Burundi, Central African Republic, Chad, Cote d'Ivoire, Democratic Republic of the Congo, Egypt, Ethiopia, Iraq, Jordan, Kenya, Lebanon, Liberia, Libya, Mali, Niger, Nigeria, Palestinian Territories, Rwanda, Sierra Leone, Somalia, South Sudan, Syria, Tunisia, Uganda, Ukraine, Yemen.

### **The Knowledge Platform Security & Rule of Law**

To strengthen the knowledge base on Security & Rule of Law in fragile and conflict-affected settings, the Ministry has installed a Knowledge Platform Security & Rule of Law. The Platform consists of representatives of social, academic, private, international and governmental organisations active in the area of security and the rule of law, and plays a central role in identifying and articulating knowledge demands, formulating research questions and promoting knowledge exchange.

The Platform decided that for addressing security and rule of law policy, a combined approach of knowledge development and application thereof is required and therefore designed a competitive Security & Rule of Law Research Programme.

### **Security & Rule of Law Research Programme**

The Security & Rule of Law in Fragile and Conflict-Affected Settings research programme consists of two funding instruments: (1) the Applied Research Fund and (2) the Strategic Research Fund. Each of these funds seeks to promote a specific type of research, respectively applied research, including action research, aiming at evidence-informed implementation; and strategic research geared at developing new policy insights. Both funds consist of several calls for proposals. The research programme is funded by the Ministry of Foreign Affairs and managed by the Dutch Research Council, NWO-WOTRO Science for Global Development.

### **The Applied Research Fund**

The Applied Research Fund makes available grants for applied research projects that contribute to the knowledge demands within focus areas issued under the research programme Security & Rule of Law in Fragile and Conflict–Affected Settings.

#### **What is meant with applied research?**

Applied research is a form of systematic inquiry involving the practical application of science. Applied research deals with solving practical problems and generally employs empirical methodologies (source: OECD). It accesses and uses (parts of) the research communities' accumulated theories, knowledge, methods, and techniques, for responding to a specific, demand (often state-, business-, or client)-driven purpose.

The ultimate goal of the Applied Research Fund (ARF) is to strengthen the evidence base of policy and/or implementation (programming). ARF research projects aim to provide evidence-based and applicable knowledge on how Security & Rule of Law policies and/or programmes can be improved. Projects address questions including: are we doing things right? And, if not, how can our policies and/or programmes be improved? Are our assumptions right, do we properly understand the problems we address in current policies and are our policies and toolbox fit for purpose?

#### **Evidence-based insights for policies and programmes**

The ultimate goal of evidence-based insights for policymaking and programmes is improved public policies and implementation thereof, thereby creating more stable and secure societies. Evidence means that policies and/or programmes are based on reliable empirical data and objective analyses, rather than relying on ideology.

## 1.2 Focus of the call

This call for proposals of the Applied Research Fund seeks to support research projects that contribute to strengthening the evidence-base of donor-supported policies and/or programmes addressing the root causes, dynamics and consequences of mixed migration flows. This can include policies and/or programmes related to social and economic reconstruction for instance aiming at the improvement of basic services or private sector development.<sup>4</sup>

### **Mixed migration flows**

The principal characteristics of mixed migration flows (movements) include the irregular nature of and the multiplicity of factors driving such movements, and the differentiated needs and profiles of the persons involved. Mixed flows have been defined as 'complex population movements including refugees, asylum seekers, economic migrants and other migrants'. Unaccompanied minors, environmental migrants, smuggled persons, victims of trafficking and stranded migrants, among others, may also form part of a mixed migration flow.

For specific research foci of the call see Section 2.

### **Geographical focus**

Projects should address donor-supported policies which focus on one or more of the following fragile and conflict-affected settings (FCAS): Afghanistan, Burundi, Central African Republic, Chad, Cote d'Ivoire, Democratic Republic of the Congo, Egypt, Ethiopia, Eritrea, Iraq, Jordan, Kenya, Lebanon, Liberia, Libya, Mali, Niger, Nigeria, Pakistan, Palestinian Territories, Rwanda, Sierra Leone, Somalia, South Sudan, Syria, Tunisia, Turkey, Uganda, Yemen. However, a regional focus, comparative research and research into the role of and relation with developed countries is encouraged.

## 1.3 Available budget

A maximum budget of 1,000,000 euros is available for this call. The maximum budget for a single research project is 100,000 euros for a project duration of six months. A selection of project proposals will be made on the basis of research quality and relevance for policies and/or programmes.

The grant should be seen as a contribution to the total costs associated with the proposed activities of the project. Thus, for each research project it is necessary that the organisations employing the applicants or other (third) parties contribute (in kind and/or cash) to the project as well.

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<sup>4</sup> For more information on the (sub)goals of the Security and Rule of Law policies of the Dutch Ministry of Foreign Affairs, please view the Theory of Change for Security & Rule of Law (DSH, 2015). <https://www.government.nl/documents/regulations/2015/12/10/theory-of-change-for-security-rule-of-law-dsh-2015> (Accessed 25 July 2016).

## 1.4 Validity of the call for proposals

Applications can be submitted until **25 October 2016, 14.00 hours Central European Time (CET)**.

In case adjustments to the call are deemed necessary, NWO-WOTRO reserves the right to publish these on the webpage of the Security & Rule of Law research programme:

<http://www.nwo.nl/securityandlaw> **Fout! De hyperlinkverwijzing is ongeldig..**

## 2 Aim

### 2.1 Aim and Objectives

The aim of this call for proposals is to strengthen the evidence-base of policies and/or programmes for Security & Rule of Law addressing the root causes, dynamics and consequences of mixed migration flows within/from Fragile and Conflict-Affected Settings (FCAS<sup>5</sup>).

Each research project should contribute to two objectives (A and B):

- A. **Develop evidence-based insights** on how 1) donor-supported Security & Rule of Law policies and/or programmes; or 2) security measures (see section 2.2 for specific policy and programme research foci) can more effectively and more sustainably address the causes, dynamics and consequences of mixed migration flows;

**AND**

- B. **Unlock the knowledge generated** by this research for practitioner organisations<sup>6</sup>, including public policy organisations, involved in these policies and/or programmes in such a way that these organisations can easily apply such knowledge for (re-)designing the under A mentioned policies and/or programmes.

### 2.2 Research foci

#### **Rationale of the research foci**

The forced displacement and migration of people fleeing conditions of war and poverty have led to a large scale human suffering and have become critical issues for European publics and policy-makers. Humanitarian concerns as to how best to manage and integrate refugees who have fled their home countries go hand in hand with demands for reinforced border controls and other migrant containment policies, also related to the unintended and problematic side effects of migration (flows) which have to do with radicalization and terrorism. Similarly, widespread recognition of the hostile conditions that have driven mixed migration flows have come into tension with pressure on resources for development cooperation policies and/or programmes of European countries. Although often the root causes are known by policymakers and implementers, they tend to have insufficient insights on how to design programmes addressing these root causes and on the policy levers they

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<sup>5</sup> For the targeted FCAS, see Section 1.2.

<sup>6</sup> *Practitioners* include any type of organisation other than research or higher education organisations that represent a group of people actively engaged in policy design for and/or implementation of those policies (programmes). These type of organisations include: a) private for-profit enterprises and related support organisations, as well as; b) private non-profit organisations, such as non-governmental organisations, cooperatives, unions, civil society organisations etcetera, and; c) public organisations such as governmental departments of line ministries or local governments, extension services.

can action. In addition, crisis-management based approaches may impair human rights and could come into conflict with international law.

The triggers for many of the mixed migration flows witnessed in the Middle East, Africa and other regions of the world are connected with fundamental flaws and tensions in the processes of (economic) development, state-building and the construction of social capital. While there is little doubt that these broader issues of inclusive development remain hard to address in isolation, they are critical parts of any sustainable approach to mixed migration flows generated by war, poverty and authoritarian regimes. In addition, widening inequality between and within countries and the effects of globalisation and technological change contribute to mixed migration flows.

Richer and more comparative evidence on how to address the root causes, dynamics and consequences of mixed migration flows may add to empirically based, more humane and human rights based policy and programme responses to mixed migration flows.

### **Specific research foci**

On the basis of the above, this research call invites two broad categories of proposals:

- 1) The first category of proposals would consider how donor-supported **Security & Rule of Law (SRoL) policies and/or programmes** (including policies and/or programmes related to social and economic reconstruction, for instance aiming at the improvement of basic services or private sector development) can more effectively address the causes, dynamics and consequences of mixed migration flows within/from Fragile & Conflict Affected Settings.
- 2) The second set of proposals would consider how donor-supported **security measures designed to control and regulate mixed migration flows**, including border control and counter-trafficking initiatives, could be designed so as to more effectively address the causes, dynamics and consequences of mixed migration flows within/from Fragile & Conflict Affected Settings while ensuring that these measures do not merely displace population movements to other routes, but contribute to a more sustainable approach.

Either category of proposals should examine how policies and/or programmes studied could achieve their objectives while respecting human rights, humanitarian law and the justice needs of affected people.

## **2.3 Project approach**

### **Applied research**

The call is open for applied research projects only. Applied research addresses practical problems and makes use of information that is gained through **empirical methodologies or** that is based on **existing empirical data**. A range of empirical methods and techniques – from randomised controlled trials to differences-indifferences, case studies, surveys – can be used<sup>7</sup>. However, generating new information may not be feasible within the short time-frame of a six months' project. Therefore, research projects may be geared towards applying

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<sup>7</sup> Projects can make use of innovative analysis techniques and data collection techniques (i.e. social media analyses, and data from Google Search, apps, GPS, etcetera).

current scientific information (for example by using scientific systematic review methodologies).

**Contextualisation**

In order to ground policies and/or programmes better in the local political and economic context, project proposals must be **demonstrably** rooted in local and regional problems, socioeconomic and political conditions and capabilities.

**Conflict sensitivity**

Furthermore, the approach of the project proposal should be conflict-sensitive and do no harm to people (practitioners, researchers, local/regional people, stakeholders etcetera) that are directly or indirectly related to the subject of the project. Conflict-sensitive research needs to account for the direct and indirect channels by which conflicts affect individuals' behaviour and welfare.

**Role of women**

Preferably, project proposals should pay special attention to the political and economic role of women.

## 3 Guidelines for applicants

### 3.1 Who can apply

A research project must be carried out by practitioners and researchers from various disciplines and backgrounds and is directed by a consortium. Consortia consisting of different relevant member organisations from across the globe may apply for funding under this call. The consortium must consist of at least:

- A practitioner organisation<sup>8</sup> involved in the design and/or implementation of policies and/or programmes in the field of Security and Rule of Law (including policies and/or programmes related to social and economic reconstruction, for instance aiming at the improvement of basic services or private sector development) (focus 1), or involved in donor-supported security measures (focus 2) designed to control and regulate mixed migration flows from/within FCAS<sup>9</sup>,

**AND**

- A research organisation<sup>10</sup>.

The consortium may be extended with other organisations. All organisations participating in a consortium must be registered as a legal entity. All non-Dutch organisations that are part of the consortium are requested to deliver proof of this registration.

The consortium appoints one main applicant from its midst. He or she should hold a senior<sup>11</sup> position within his/her organisation. He or she will act as project coordinator and point of contact with NWO-WOTRO and will submit the research proposal. The main applicant's organisation will take responsibility for the project secretariat, the day-to-day management and all financial affairs of the research project.

The (main and co-)applicants of the consortium member organisations will together:

- 1) steer the process of demand articulation;
- 2) translate demands into relevant research questions and approaches;
- 3) develop, formulate and submit the proposal;
- 4) conduct the project activities;
- 5) coordinate knowledge sharing and support the application, dissemination and communication of the project results to a broader group of (local) stakeholders that are not a member of the consortium, as well as to the Knowledge Platform Security & Rule of Law;

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<sup>8</sup> For a definition of 'practitioners', see footnote 5

<sup>9</sup> For the targeted FCAS, see Section 1.2.

<sup>10</sup> *Research organisations* include any organisation:

- of which one of its main tasks is to carry out independent research;
- that has no profit motive other than that for the purpose of further research;
- whose researchers enjoy freedom of publication in the international (academic) literature.

For example, universities and higher education institutions, think-tanks, planning offices, centers for international scientific education, but also NGO's and private organisations that meet these criteria are included. Here, research organisations from across the globe are invited to apply.

<sup>11</sup> 'Senior': individuals with at least a demonstrable six years research and/or policy/practice experience relevant to the proposed project proposal.

6) take responsibility for the adequate and timely reporting to the funder. NWO-WOTRO advises consortia to formulate a Consortium Agreement between the collaborating organisations but this is not obligatory.

Each individual (main or co-)applicant can participate in only one proposal issued in response to this call.

## 3.2 Specific project conditions

### Co-creation

The research project should be practitioner driven and evolve in a process of co-creation with different knowledge partners (both practitioners and research organisations): both practitioners and researchers should be actively involved throughout the entire project process; in defining and conducting the research as well as in communicating the progress and result.

### Impact pathway

Each project should explicate how the project works towards the realisation of the two objectives of this call and ultimately contribute to enhanced security for the most vulnerable people in the targeted FCAS or regions by sketching an impact pathway (for a schematic example, see Section 6.4).

In this pathway:

- it must be envisioned how the project activities (both research activities and knowledge sharing activities) result in output and contribute to outcomes and impact, with verifiable indicators for the output and outcome levels;
- it must be explicated and specified who the foreseen users of the project results (next users, final users, adopter-level users and community-level users) are and how users will be targeted.

*Research outputs* relate to the direct and immediate results obtained by a research project or programme;

*Research outcomes* relate to the changes in behaviour, relationships, actions, and activities of stakeholders as a result of sharing and uptake of research activities;

*Research impact* is defined as changes in economic, environmental and social conditions a project or programme is aiming at.

Research outputs and outcomes respectively fall under the direct span of control of a research project or programme. Achieving societal change (impact) is, however, beyond the control of a research project as it is a complex process that depends on a variety of actors and factors of which research is only one.

### Knowledge sharing (activities)

Knowledge generated by projects receiving a grant must be easily accessible for and applicable by practitioners involved in policies and/or programmes in order to enhance impact. Therefore:

- the research project is demanded to include activities for active knowledge sharing with a broader group of relevant (local, national, international) organisations<sup>12</sup> that are not directly involved in the project (as member of the consortium) in order to enhance the potential for implementation and to generate impact;
- applicants must be prepared to participate in activities organised by the Knowledge Platform to create a feedback loop between the research projects and potential users/beneficiaries, especially the Ministry of Foreign Affairs of The Netherlands. In addition, these activities can stimulate exchange between peer researchers. These activities will be organised by the Knowledge Platform.
- generated knowledge must be translated into policy briefs and preferably also into other tools like audio/visual products addressing how the new insights can be used to transform (new or existing) policies and/or programmes.

When the results from the funded research are published, the financial support received from NWO-WOTRO - commissioned by the Ministry of Foreign Affairs of The Netherlands and developed in close collaboration with the Knowledge Platform Security & Rule of Law - must be acknowledged.

### **Target groups**

The ultimate target group to reap the benefits of this call consists of all people living in fragile and conflict-affected settings, including the most marginalised and vulnerable people in the targeted FCAS and regions mentioned in Section 1.2.

The intermediate target group consists of those individuals and organisations that will be directly impacted by the outcomes of the research projects, that is to say those that will adapt, adjust and apply new perspectives for action. This intermediate target group will be found primarily among (international) donors and practitioner organisations involved in policy design and programmes.

Finally, the most immediate target group consists of researchers and practitioners from across the globe with knowledge of (context-sensitive) policies and/or programmes for development and security with proven experience in performing research in the foci of this call. This target group will formulate and submit project proposals.

### **Open Access and use of results**

All scientific publications resulting from research that is funded by grants derived from this call for proposals are to be immediately (at the time of publication) freely accessible worldwide (Open Access). There are several ways for researchers to publish Open Access. A detailed explanation regarding Open Access can be found on [www.nwo.nl/openscience-en](http://www.nwo.nl/openscience-en).

In addition, submitting a proposal implies that the applicants' employing organisations agree with the use of the results for free by the Kingdom of The Netherlands.

### **Accountability**

With regard to accountability of the projects, the General Provisions of the NWO Regulation on Granting<sup>13</sup> and the conditions as specified in the NWO-WOTRO Regulations<sup>14</sup> apply.

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<sup>12</sup> Especially with members of the Knowledge Platform Security & Rule of Law, including the Ministry of Foreign Affairs of The Netherlands.

<sup>13</sup> NWO Regulation on Granting: [www.nwo.nl/en/documents/nwo/legal/nwo-regulation-on-granting-2015](http://www.nwo.nl/en/documents/nwo/legal/nwo-regulation-on-granting-2015)

### 3.3 What can be applied for

The maximum subsidy requested from this call may not exceed 100,000 euros for a research project with a running time of six months. The applicants can budget only for costs that directly attribute to the project.

#### Reimbursable costs

- I. Personnel costs of project staff
- II. Research costs
- III. Knowledge sharing costs

The total reimbursable costs of I and II may not exceed 80 per cent of the project's total grant budget.

The budget conditions are depicted in Section 6.2.

#### Co-funding

The grant should be seen as a contribution to the total costs associated with the proposed activities of the research project. Therefore, the consortium member organisations employing the applicants, or other ('third') parties, have to contribute cash<sup>15</sup> and/or in kind<sup>16</sup> to the grant in order to cover the total costs of the project. This cash and/or in kind contribution must be made explicit and valorised in the budget overview in the application form and a letter of support of the organisation should be provided when submitting the application. The amount of the in kind contribution of personnel costs should be guided by the organisation's norms and legal regulations of the country concerned.

### 3.4 When can application be submitted

Applications can be submitted until **25 October 2016, 14.00 hours CET**.

The assessment round will take approximately twelve weeks. For an overview of the procedure timelines, please see Section 4.1.

### 3.5 Preparing and submitting an application

#### Preparation

Application forms can be downloaded from the electronic application system ISAAC or from NWO's website (on the grant page of this programme). Before completing the application form, please read the information and guidelines provided in Section 6 of this call.

An application can only be submitted to NWO-WOTRO via the online application system ISAAC. This must be done by the main applicant. Applications that are not submitted via

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<sup>14</sup> NWO-WOTRO Regulations: <http://www.nwo.nl/en/documents/wotro/wotro-regulations>

<sup>15</sup> Should the proposal be awarded a grant, please note that in-cash contributions of more than 5,000 euros are to be channelled via NWO for reasons of transparency.

<sup>16</sup> 'In kind' contributions include costs that are carried by the participating consortium member organisations (for example personnel costs, overhead, goods etcetera). Third parties (not being a member of the consortium) can contribute 'cash' by providing cash money to the project or 'in kind' by providing goods or services to the consortium.

ISAAC will not be taken into consideration.

The main applicant should submit his/her application via his/her own ISAAC account.

Please note: In case a main applicant does not have an ISAAC account he/she is advised to create an account at least *five working days* before submitting the application, to ensure that any registration problems can be resolved in time. Especially if the applicant's organisation is not listed in ISAAC it is vital to take five working days into account to ensure correct registration (a request for registration of the applicant's organisation in the ISAAC system should be sent to [relatiebeheer@nwo.nl](mailto:relatiebeheer@nwo.nl)).

### **Submitting the application**

Please arrange the annexes, such as a CV or job profile of the applicants, the letters of support, a proof of registration that the non-Dutch consortium member organisations are registered as a legal entity and an overview of the organisation's salary scales (see for more information Section 6) in PDF before starting your submission. When the application form has been completed, save the form (including annexes) as a pdf and upload it in ISAAC. When you submit your application to ISAAC you will also need to enter additional details online.

It is advised to start submitting your application at least one day before the deadline of this call for proposals. Applications submitted after the deadline will not be taken into consideration.

For technical questions please contact the ISAAC helpdesk, see Section 5.2.

## 4 Procedure

### 4.1 Assessment procedure

The NWO Code of Conduct on Conflicts of Interest<sup>17</sup> applies to all persons and NWO staff involved in the assessment and/or decision-making process.

#### **Eligibility**

All project proposals received via ISAAC are screened by the NWO-WOTRO secretariat for compliance with formal eligibility criteria as described in this call text (see Section 6.3 for an eligibility checklist).

#### **Assessment**

If eligible, proposals will be reviewed on the basis of the selection criteria mentioned in Section 4.2. Individual expert advisors will pre-assess the proposals for both criteria. The applicant will not be offered an opportunity to respond to the comments. In a meeting, the International Advisory Committee (IAC) will discuss all proposals and pre-assessment reports and will rank the proposals on base of the criteria research quality and relevance for policies and/or programmes. The IAC will present an advice on funding to the Programme Committee (PC). Only project proposals that are evaluated at least as 'good' for both criteria are eligible for funding. In addition, the IAC may also provide an advice to the PC on the value for money of the project.

The Ministry has the opportunity to provide an advice to the PC on the prioritisation of proposals that are qualified at least as 'good' for both criteria in order to achieve a good balance with regard to geographical spread and spread between the research foci. Both the advice of the IAC and the Ministry will be presented to the PC.

#### **Decision**

The PC will decide on the funding of proposals, based on the advice of the IAC (quality ranking) and of the Ministry (prioritising for balance). The PC may deviate from the advice of the IAC and the Ministry when proposals pay special attention to the political and economic role of women. Furthermore, the PC will verify that the procedure has been conducted properly before taking a decision on granting. The PC may decide to fund the project under the condition that the budget will be adjusted in order to increase the 'value for money' of the project. All main applicants will be informed in writing about the outcome of the selection procedure. A research project that is awarded a grant should start within two months after the granting date.

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<sup>17</sup> <http://www.nwo.nl/en/documents/nwo/legal/nwo-code-of-conduct-on-conflicts-of-interest>

### Indicative timeline

Proposals will be assessed, ranked and selected for funding according to the following time scheme:

19 August 2016	Publication call for proposals. Application form available from the NWO-WOTRO SRoL grant page website.
<b>25 October 2016, 14.00 hours CET</b>	<b>Deadline for submitting proposals.</b>
Two weeks	Eligibility check NWO-WOTRO
Six weeks	Assessment individual expert advisors, meeting International Advisory Committee (IAC), advice to Ministry and Programme Committee (PC)
Two weeks	Prioritising by Ministry, advice to PC
Two weeks	Meeting of the PC (January 2017): Decision on funding. Notification of main applicants.
	Approval of budgets for awarded research projects. Start projects within two months.

### Appeals procedure

If an applicant objects to a decision taken by the PC, it can lodge a complaint with the General Board of NWO through the NWO Appeals Committee. Any written appeal against a decision taken by the PC must be lodged within six weeks after the day on which the notice of this decision was sent.

## 4.2 Criteria

All project proposals are evaluated according to two main selection criteria: research quality and relevance for policies and/or programmes. Only project proposals that have been assessed at least as 'good' for both criteria are eligible for funding, depending on the available budget for this call. For ranking, the two criteria carry equal weight.

#### a) Research quality:

- The extent to which the project proposal provides new evidence-based insights (objective A);
- Validity of the conceptual framework (coherence of the objectives, research questions and methods);
- Robustness of the research design and scientific methodology;
- Demonstrable quality of relevant expertise of the main- and co-applicants.

#### b) Relevance for policies and/or programming:

- Extent to which the proposal aligns with the call's aim and foci;
- Robustness of knowledge sharing activities and probability to generate impact for the ultimate target group (including a realistic impact pathway which incorporates realistic foreseen users of project results) (objective B);
- Extent to which the proposal has been demonstrably developed and will be executed in co-creation (collaboration with local, national or international practitioners, including policy makers);
- Appropriateness of the contextualisation and sensitivity of the project for conflict dynamics.

In addition, each proposal will be judged by the IAC for cost-effectiveness. In case proposals assessed by the IAC are judged by the IAC not to deliver enough value for money, the IAC may advise the PC not to (or conditionally) fund the proposal notwithstanding its high quality.

### 4.3 Project final evaluation

The project will be evaluated at the end of the project's running time. For this, applicants must deliver within one month after the end-date:

- a policy brief (max. 5 pages) that clarifies to (specified) practitioners how to use the project's results in policies and/or programmes. In addition, delivering other knowledge sharing output is encouraged, such as audio/visual products or other mean(s) of communication;
- a project report (max. 30 pages) which includes an explanation about the analysis on which the policy brief has been based, as well as information on how the project progressed (best practices and encountered challenges), information on the output of the project (what new insight in policies and/or programmes has been obtained), and a reflection on the impact pathway that was foreseen (including which external user(s) has been addressed in what way and with what outcome);
- a financial report (based on a format provided by NWO-WOTRO) that shows how the grant was spent.

The final report, policy brief and/or (audio and/or visual) communication output will be shared with the Knowledge Platform Security & Rule of Law.

NWO-WOTRO reserves the right to execute an on-site (final) review of projects.

The project ends with the issuing of the grant settlement decision. This decision is taken after approval of the final document(s) by NWO-WOTRO<sup>18</sup>.

### 4.4 Governance of the Research Fund and Call for proposals

The Steering Group of the Knowledge Platform Security & Rule of Law is responsible for the overall knowledge management of the Security & Rule of Law Knowledge Agenda and for setting the research agenda. The Steering Group is represented in the Programme Committee of the research programme. It will share and discuss the knowledge generated by research projects granted by the calls with the Platform, to encourage broad application of this knowledge and to safeguard alignment of consecutive calls of the research programme Security & Rule of Law with evolving knowledge needs as formulated by the Platform.

The Programme Committee (PC) is the decision making body of the Research Fund Security & Rule of Law and is responsible for:

- Approving of calls, having consulted the Steering Group of the Knowledge Platform;
- Appointing members of the advisory bodies;
- Allocating funding to projects, based on the advice of the IAC;

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<sup>18</sup> Please note that the conditions in Article 24 under paragraph 4.4 of the NWO 'General Provisions on Granting' apply to this grant settlement decision.

- Approval of the final project evaluation reports, based on the advice of the IAC. The individual members of the Programme Committee are responsible for timely informing and aligning with the bodies they are representing.

The PC, operating under a mandate from the NWO-WOTRO Board, consists of representatives of the Ministry of Foreign Affairs of the Netherlands (1), NWO-WOTRO (1), the Steering Group of the Knowledge Platform Security & Rule of Law (1, observer status), and a representative of the international scientific community (1) who can be replaced depending on the specific call theme. The PC is chaired by an independent, technical chair.

The International Advisory Committee is responsible for

- Assessment and ranking of research proposals;
- Advising the Programme Committee on funding of research projects;
- Assessing the quality of the final project evaluation reports;
- Advising the PC on the approval of the final project evaluation reports.

The IAC is composed of (international) researchers and (academic) practitioner experts in the field of SRoL in FCAS. The IAC has been installed by the Programme Committee. The PC may ask the IAC to advise the PC on other matters as well.

The composition of the PC and IAC has been published on the NWO-WOTRO Security & Rule of Law Research Fund website.

NWO-WOTRO is responsible for the day-to-day management of the call, including organising the assessment procedures, for all (financial and other) administration with regard to awarded projects, and for fulfilling the reporting conditions as put by the Ministry of Foreign Affairs. NWO-WOTRO provides the secretariat of the PC and IAC.

## 5 Contact details and further information

### 5.1 Questions regarding the content of this call

For questions about the Research Fund Security & Rule of Law and especially about this call for proposals please contact:

NWO-WOTRO Science for Global Development  
E-mail: [SRoL-ARF5@nwo.nl](mailto:SRoL-ARF5@nwo.nl)

Day-to-day coordination:

Petra Griffioen and Maria Verschoor, Policy Officers  
[SRoL-ARF5@nwo.nl](mailto:SRoL-ARF5@nwo.nl)  
+31 70 3440976/0646

General information, forms and administration:

Naomi Strubbe-Baksteen, Staff Officer  
[n.strubbe@nwo.nl](mailto:n.strubbe@nwo.nl)  
+31 70 3440963

Postal address:

P.O. Box 93120  
2509 AC The Hague  
The Netherlands

Visiting address:

Laan van Nieuw Oost Indië 300  
2593 CE The Hague  
The Netherlands

### 5.2 Technical questions about ISAAC

For technical questions about the use of ISAAC please contact the ISAAC helpdesk. Please read the manual first before consulting the helpdesk. The ISAAC helpdesk can be contacted from Monday to Friday between 10:00 and 17:00 hours CET on +31 (0)20 346 71 79. However, you can also submit your question by e-mail to [isaac.helpdesk@nwo.nl](mailto:isaac.helpdesk@nwo.nl). You will then receive an answer within two working days.

### 5.3 Further information

For more information on the Security & Rule of Law research programme visit [www.nwo.nl/securityandlaw](http://www.nwo.nl/securityandlaw). For background information on the Knowledge Platform Security & Rule of Law see: [www.kpsrl.org](http://www.kpsrl.org).

# 6 Instructions for applicants

## 6.1 General instructions for applicants

The application form must be completed in English. For some items, a maximum number of words is stated. Do not exceed this number and please fill in the word count (*please note*: words in footnotes, figure captions and tables should also be included in the word count). Your application may be disqualified if the maximum number of words stated is exceeded.

Applications should be submitted electronically by the main applicant using the online application system ISAAC. The ISAAC system can be accessed on the NWO website ([www.nwo.nl](http://www.nwo.nl)). Using ISAAC requires registration. Please see section 3.5 for more information.

*Please note*: Applicants who do not have an ISAAC account yet are strongly advised to create an account at least five working days before submitting the application. Especially if your organisation is not listed in ISAAC you will need this time to get your organisation registered in ISAAC. You can do so by sending a request for registration of your organisation to [relatiebeheer@nwo.nl](mailto:relatiebeheer@nwo.nl).

Additional information on the registration of your application:

- Download the application form from the electronic application system ISAAC or from NWO's website (on the grant page for this programme - [www.nwo.nl/securityandlaw](http://www.nwo.nl/securityandlaw)). We advise you to carefully read the information and guidelines as provided in this chapter before filling in the application form;
- Complete the application form and save the application form as a pdf file. In order to be able to process the details of the application properly, this pdf file should not be protected in any way (no passwords, etcetera) nor should it be a scanned document;
- The electronic application consists of two parts: uploading of the application form and annexes in ISAAC (all in pdf file) and entering additional details in a fact sheet in ISAAC (including a copy of some details presented in the application form). Make sure you allow enough time for this;
- For technical questions about ISAAC, see Section 5.2;
- The receipt of your application will be confirmed by e-mail.

## 6.2 Specific instructions for the applicants

Explanatory notes to each question on the application form are provided below. The numbers refer to the questions on the application form.

### Registration

#### 1. Title

Provide a title for your research project. The project title must state the FCAS targeted by the policy and/or programme (or measures) your project is directed at (for eligible FCAS see Section 1.2).

#### 2. Project

Please indicate the following project details:

##### a) Focus

Indicate which of the two research foci as specified in 2.2 will be addressed by the project proposal.

b) *Countries* where the organisations employing the main applicant and co-applicant(s) are based.

c) *Main field(s) of research*

It is compulsory to provide one or more research field(s) that correspond to the subject of your proposal. The applicant may only refer to the descriptions and codes from the NWO research field list. Please find the list via:

<http://www.nwo.nl/researchfields>.

*Suggestions for this call are:*

46.90.00 Cultural anthropology

51.90.00 Development studies

49.10.00 Geography

43.30.00 International and European law

43.40.00 Criminal law and Criminology

44.10.00 Public administration

44.20.00 Political science

45.90.00 Sociology

*Please note:* if you have indicated in ISAAC that you would like to correspond in Dutch with NWO, then you have to use the Dutch description of the research field in the factsheet in ISAAC (in the application form you need to use the English description). Please find the list of research fields in Dutch via:

<http://www.nwo.nl/financiering/nwo-disciplinecodes>.

### 3. Composition of the consortium and the project staff

a) *Consortium*

Provide the details of the main-applicant (coordinator) and co-applicant(s) and their employing consortium member organisations. At least two different partners as specified under Section 3.1 should be indicated, but additional partners can be added to the consortium.

For *Type of organisation* indicate if the participating consortium member organisation classifies as: A = research organisation or B = practitioners organisation. In addition, classify if the organisation is: 1 = public; 2 = private for profit; or 3 = private non-profit. For each organisation the specification is expressed as a combination of a character (A or B) and a digit (1 or 2 or 3).

*Please note:* Consortium member organisations should be officially registered as a legal entity. Non-Dutch consortium member organisations should provide proof of registration.

b) *Project staff*

Provide a list of the project staff members, i.e. the individuals that will actually carry out the project (this includes the lead staff member from the main- and co-applicant consortium organisation). Both staff members funded by the grant and staff funded by co-funding should be included. Provide the name (if possible) of each staff member and the name and type of his/her employing organisation. Furthermore, indicate time involvement of each staff member by specifying total number of hours and the number of months the staff member will be involved in the project. Indicate the staff member's role in the project (e.g. researcher, supervisor, local coordinator, advisor, etcetera) and his/her added value to the project.

## **Project proposal**

### **4. Summary of the project proposal**

Provide a summary of your project proposal, written for the interested layman. The summary should describe briefly, in no more than 200 words, the practitioners' knowledge demands, the main objective(s) of the project, the approaches/methodology, practitioner involvement approach and the envisaged application in practice. This summary will be published on your project description on the NWO website, if your proposal is granted.

*This section should not exceed 200 words. Please specify the number of words used (please note: words in footnotes, figure captions and tables should also be included in the word count).*

### **5. Impact pathway**

Please complete an impact pathway diagram for the project (max. 1 page). In the impact pathway specify how the project works to the realisation of the two objectives of this call (see Section 2.1) and ultimately contributes to enhanced security for the most vulnerable people in the targeted FCAS (see Section 1.2). For more information and a definition of the impact pathway please see Section 3.2. An schematic example of an impact pathway is provided in Section 6.4.

Please note that appropriate outputs and outcomes (and indicators thereof) depend on the specific objectives of the project and the level or scale of intervention of the project, and that users of project output and outcomes should be specified (name, country etcetera).

#### *Indicators*

In order to be able to monitor and assess the effectiveness of the project, verifiable indicators should be presented for the *output and outcome* levels. We encourage you to make your indicators as SMART as possible: Specific, Measurable, Assignable, Realistic and Time-related. You are also asked to present indicators at *impact level*. As achieving societal change (impact) is beyond the span of control of a research project, these *impact indicators* will not be used to monitor and assess the effectiveness of the project. Furthermore, please also specify potential end-users at impact level. The following table may serve as a general example and source of inspiration.

Examples of research outputs, outcomes, indicators and users:

<b>Narrative description</b>	<b>Indicators</b>	
<b>Research outputs</b>	<b>Indicator</b>	<b>Possible users</b>
- New, applicable knowledge and insights gained	- Publications, datasets, content-related and/or communication (audio/visual) tools; - Policy briefs, advices; - Workshops and trainings developed; - Proposal for new approach / intervention; - Etcetera.	(international) donors, policy makers, practitioner organisations, researchers, public
- Knowledge, insights gained, shared with stakeholders	- Publications (e.g. policy briefs) on gained knowledge in practitioner's communication instruments, advocacy materials, etc.; - Events and meetings: convened policy discussion events, key note speeches, community outreach meetings, facilitation local dialogue processes; - Workshops or trainings held and attended by stakeholders; - Etcetera.	(international) donors, practitioner organisations, public
<b>Research outcomes</b>	<b>Indicator</b>	<b>Possible users</b>
- Uptake of new applicable knowledge and insights by targeted practitioners in policy and (pilot-) projects	- White papers, proceedings of Parliaments, broad policy debates; - More financial support for applying new approach in pilot projects; - Change in prescript responses of institutions; - Etcetera.	Local, national, international policy makers at governments, donor organisations or NGO's.
- Uptake of new applicable insights by broader group of stakeholders, including authorities and other sectors (private companies, etc.)	- Roll out of pilot projects using new insight or knowledge; - Publication of new rules, laws and regulations by authorities at various levels; - New or adapted approaches recognised as best practice and implemented by broader group of practitioners; - Etcetera.	Policy implementing organisations (legal authorities, NGO's, private companies, associations etc.)
- Uptake of new insights/knowledge by researchers	- Publication etc. of studies, using the new insights; - More financial support for research projects into (use of) new insights or knowledge; - Etcetera.	Researchers
<b>Impact</b>	<b>Indicator</b>	<b>End Users</b>
- More stable environment	- Drop in statistics for crime-related events; - Etcetera.	Most vulnerable and marginalised people in <region>
- Safety experienced	- Economic growth region, less poverty, more wealth and well-being; - Etcetera.	Most vulnerable and marginalised people in <region>

## 6. Project description

This narrative outline of the research project should include the following aspects:

### a) *Background and rationale (context)*

Provide a brief analysis and contextualisation of the problem or opportunity addressed. Pay attention to the conflict dynamics (local and regional problems, socioeconomic and political conditions and capabilities) and show how the research project is rooted in the demand of specified local, national or international practitioner organisations and/or policy makers.

### b) Research objectives, questions and methods

- Specify the research objectives in terms of its contribution to the main aim and the objectives A and B of this call (see Section 2.1) and to the specific research focus (1. or 2.);
- Specify the research questions and methods to be used;
- Indicate the research activities to be carried out as part of the project. Include an overview of how the different activities are planned and organised over time;
- Explain how the methods and approach chosen are conflict-sensitive and allow for an objective analysis of scientific/empirical information so easily applicable evidence-based insights for policies and/or programmes of the specific research focus can be developed;
- If applicable, specify how the project pays attention to the political and economic role of women;
- Include a narrative on the envisioned project results and a rationale of how the projects' outputs and outcomes will reach what user (the intermediate and ultimate target groups).

### c) *Knowledge sharing (activities)*

Indicate the expected output for practitioners (including policy makers), the approach and activities to share knowledge about the projects' plan, progress and experiences as well as the results beyond the consortium (in broader stakeholder networks). Describe how these activities will contribute to making the knowledge accessible to and applicable for practitioners involved in policies and/or programmes. The knowledge sharing activities must be coherent with the research activities.

The total project description (a+b+c) should not exceed a maximum of 1,750 words. *Please specify the number of words used (please note: words in footnotes, figure captions and tables should also be included in the word count).*

### d) *Reference list*

Provide a list with the (literature) sources referred to in the project description (*6d is excluded from the word count*).

## 7. Ethical challenges

Consider the ethical challenges that the project may encounter and describe how you will deal with these challenges.

*This section should not exceed 150 words. Please specify the number of words used.*

## 8. Risk assessment

Identify potential risks for the successful execution of your project and describe how your project could deal with these risks.

*This section should not exceed 200 words. Please specify the number of words used.*

## 9. Consortium expertise

### a) *Involvement of consortium members (co-creation)*

Describe the role and added value of each of the consortium member organisation in terms of experience (including research and practice experience), skills, knowhow and expertise. Explain how co-creation will be achieved: how will the specific expertise and knowledge of the partners (both practitioner and research organisations) complement each other? Also explain how especially the practitioner organisation will be actively involved throughout the entire research process, in defining and conducting the research as well as in communicating the progress and results.

*This Section should not exceed 150 words for each consortium member organisation (including the applicant that is employee of this organisation). Please specify the number of words used.*

### b) *References*

Provide a list of a maximum of five key communications of each consortium member organisation. It is possible to refer to reports (e.g. of successfully implemented programmes), convened policy discussion events, key note speeches, community outreach meetings, facilitation local dialogue processes, facilitating grass root surveys, revenues/profits, policy or company briefs, websites, scientific publications, (chapters in) books etc. Please provide the following details in full: authors, year, title (if relevant), and make sure referees can track the communication and/or publication (for example by providing the name of the journal or series in which the publication appeared, web-links, report contact details, et cetera).

## Funds required

### 10. Budget estimates

The maximum subsidy requested from this call may not exceed 100,000 euros. The applicants can budget only for costs that directly attribute to the project.

Co-funding: The grant should be seen as a contribution to the total costs associated with the proposed activities of the research project. Therefore, the consortium member organisations employing the applicants, or other ('third') parties, have to contribute cash<sup>19</sup> and/or in kind<sup>20</sup> to the grant in order to cover the total costs of the project. This cash and/or in kind contribution must be made explicit in the budget specification and budget overview in the application form and should furthermore be valorised via a letter of support of the organisation providing the co-funding contribution which should be uploaded when submitting the application. The amount of the in kind contribution of

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<sup>19</sup> In case your project is awarded a grant, please note that in-cash contributions of more than 5,000 euros are to be channelled via NWO for reasons of transparency. After a project has been approved, an invoice will be sent to partners who have pledged a financial contribution. NWO will allocate the funds to the project.

<sup>20</sup> 'In kind' contributions include costs that are carried by the participating consortium member organisations (for example personnel costs, overhead, goods etcetera). Third parties (not being a member of the consortium) can contribute 'cash' by providing cash money to the project or 'in kind' by providing goods or services to the consortium.

personnel costs should be guided by the organisation's norms and legal regulations of the country concerned.

a) *Total budget of the proposed project*

Please provide the calculation of the total budget of the research project. The total budget of the research project includes: a) the budget requested from this Applied Research Fund, and b) co-funding contribution of the consortium member organisation(s) and/or other ('third') parties.

b) *Budget specification*

Please provide a specification of the total costs as budgeted for the research project (both reimbursable costs from this fund and costs that will be paid by (cash or in kind) co-funding. These costs should be divided in three budget lines, namely: I. Personnel costs of project staff, II. Research costs, and III Knowledge sharing costs.

Please see below a specification of the three budget lines and the minimum conditions that apply to the reimbursable costs.

Please note: The total reimbursable costs of I and II (see specification below) may not exceed 80 per cent of the project's total grant budget.

***I. Personnel costs of project staff***<sup>21</sup>

Reimbursable costs:

Subsidy can be requested for the time that staff members work on the project. To determine the reimbursable salary costs, a distinction is made between personnel from Dutch Universities and personnel from all other organisations.

a. *Personnel from Dutch Universities;*

The maximum tariffs for the different categories researchers (to be) employed by universities in the Netherlands are based upon the [NWO-VSNU contract](#) and are subject to change. Salaries should be calculated per hour in the budget.

b. *Personnel from all other organisations than Dutch universities*

For determining the amount of reimbursable personnel costs for staff members from other organisations, the legally determined salary scales of the individual's employer are guiding. Salaries include costs for insurances, taxes, travel from and to work, medical costs, organisational overhead et cetera. Salaries should be calculated per hour in the budget.

Please present in the budget specification estimates for:

The personnel costs, by including the category e.g. junior/medior/senior/support staff, the salary rate 'per hour' (based on both the subsidy and co-funding contribution to the salary), total number of hours working on the project and the number of months involved in the project.

Please note: *an overview (in English) of the legally determined salary scales or rates of all consortium member organisations other than Dutch Universities is requested.*

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<sup>21</sup> Project staff refers to individuals who actually conduct the project activities, including supervision of (this staff during) the project.

## **II. Research costs**

### Reimbursable costs:

- Travel (excluding travel from and to work) and accommodation costs for consortium/project staff members;
- Consumables, costs of materials or for obtaining or use of information/data, etcetera.

Please present in the budget specification:

The estimates for research costs.

## **III. Knowledge sharing costs**

### Reimbursable costs:

Knowledge sharing costs should preferably be directed to enabling stakeholders beyond the project staff to participate in the project's knowledge sharing activities.

- Activities during the project's running time for implementing the communication plan for sharing project plans and (intermediate) project findings with relevant national and international stakeholders beyond the organisation(-s) employing the applicants/project staff;
- Organising end-of-project consultations with relevant stakeholders beyond the consortium, including dissemination of the results by policy briefs, publications, conference fees, books, and other (visual/audio) forms of knowledge dissemination and activities to encourage research uptake.

Please present in the budget specification:

The estimates for knowledge sharing costs.

### *c) Budget overview*

Please provide a summary per budget line and include both the contribution of the ARF grant and (cash or in kind) co-funding.

## **Signatures**

The application must be signed by all applicants employed by the participating consortium member organisations. Faxed, electronic or scanned signatures will be accepted.

## **Annexes**

Please attach as annex to the application form:

- **CV** (max. 1 page each in English) of the lead staff member of each consortium member organisation involved in the project proposal, and for other staff members either a CV or a job profile (a brief description of the characteristics and skills of the vacancy);

Please submit the following requested documents in a separate PDF file via the electronic system at the same time as your application:

- **Letters of support** outlining the availability and commitment of each consortium member organisation, including any valorised co-funding commitment of the consortium member organisation (signed by the head of the organisation/department) (max. 2 pages each). The letters of support should:
  - be written in English;
  - be addressed to the project coordinator (main applicant);
  - include information on co-funding which is explicit in terms of pledged financial or capitalised material or personnel contribution. The amounts presented in letters of support should correspond to the amounts put forward in the budget.

After the research proposal has been approved, NWO may ask the members for reconfirmation of the co-funding.

- **Proof of registration** (preferable in English) for all non-Dutch organisations that are part of the consortium;
- **An overview of the legally determined salary scales** of all consortium member organisations excepting Dutch Universities.

Please note that a project should start within <b>two</b> months once awarded.
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### 6.3 Eligibility criteria

All received project proposals will be first assessed on the basis of formal eligibility criteria and, if eligible subsequently on basis of selection criteria that are in line with the aim and objectives of this call.

#### Formal eligibility criteria

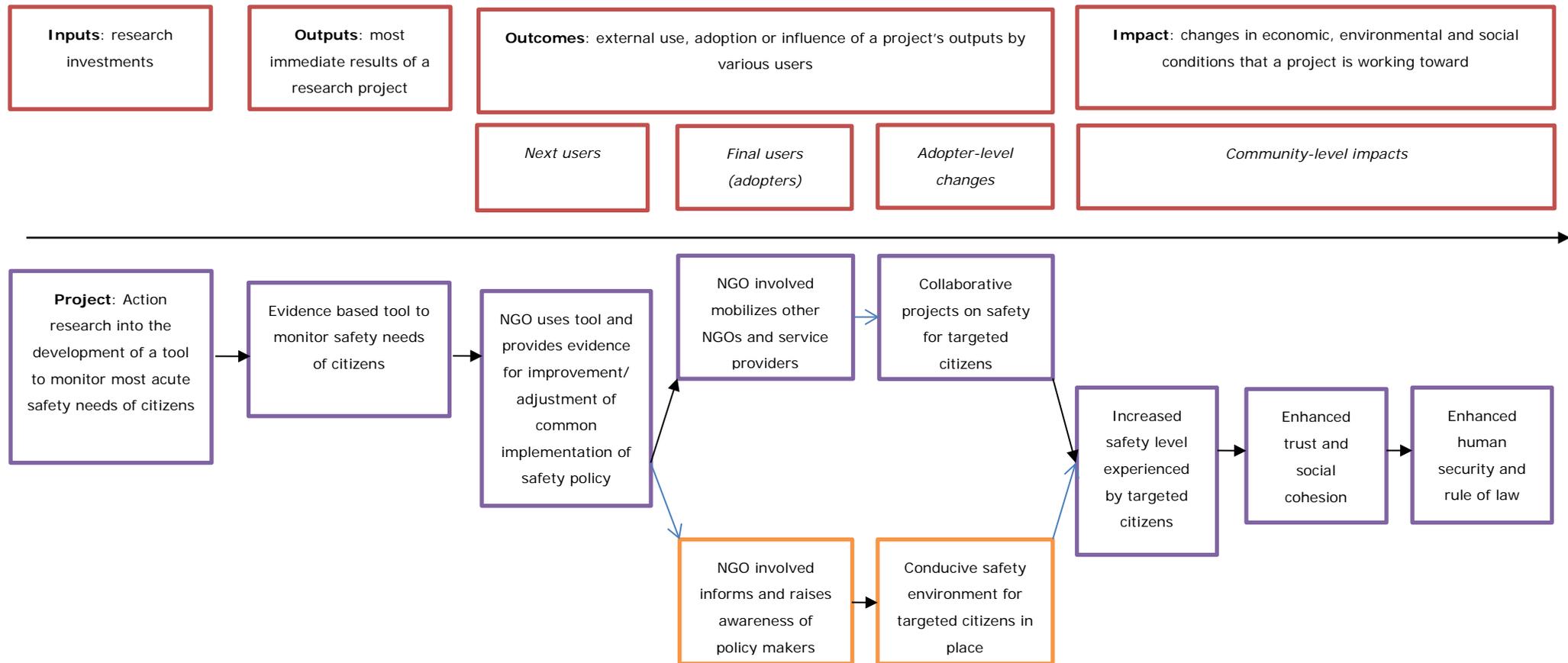
Formal criteria include (but may not be limited to) the following:

- The research project will be executed by a consortium consisting of at least one practitioner organisation (which is involved in the design and/or implementation of policies and/or programmes for SRoL reform programmes in FCAS and whose knowledge demand is addressed by the consortium) and one research organisation;
- Application has been submitted by the main applicant who holds a senior<sup>22</sup> position at one of the consortium member organisations;
- Application has been received timely via electronic application system ISAAC;
- Application form has been completed and correctly signed;
- Project proposal entails research activities, an impact pathway and knowledge sharing activities;
- Format, length of text, language (English) are in line with the conditions (see Section 6);
- Specific conditions (e.g. target FCAS as depicted in Section 1.2) have been applied;
- Budget conditions have been applied (see Section 6.2.10);
- Annexes are completed:
  - CV of the lead staff member of each consortium member organisation and either a CV or a job profile (a brief description of the characteristics and skills of the vacancy) for other staff members involved in the project;
  - Letters of support outlining the availability and commitment of consortium member organisations, including the valorised co-funding commitment of consortium member organisations and/or third parties (signed by the head of the organisation/department);
  - Proof of registration for each non-Dutch consortium member organisation;
  - An overview of the legally determined salary scales from the consortium member organisations, with the exception of Dutch universities.

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<sup>22</sup> For a definition of 'senior', see footnote 10.

## 6.4 Schematic example of Research Impact Pathways



Freely after T. Walker et. al. (2008), *Strategic Guidance for Ex Post Impact Assessment of Agricultural Research*, Science Council of the Consultative Group on International Agricultural Research

Published by:  
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for Scientific Research

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August 2016

